

ATTORNEY DOCKET NUMBER
064977.0132

1724
PATENT
09/848,975



1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Kuang Wu, et al.
Serial No.: 09/848,975
Filing Date: May 3, 2001
Examiner: Charles S. Bushey
Group Art Unit: 1724
Title: METHOD AND APPARATUS FOR IMPROVING
A FRACTIONATION PROCESS

RECEIVED
APR 16 2003
TC 1700

Commissioner of Patents and Trademarks

Washington, D.C. 20231

Dear Sir:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Box 16, Washington, D.C. 20231, on the date shown below.

Esmarie A. Garland

Esmarie A. Garland

April 7, 2003

Date

TRANSMITTAL

A Verified Statement Claiming Small Entity Status under 37 C.F.R. 1.9(f) & 1.27(c) Small Business Concern and a Revocation of Attorney and Appointment of New Attorneys for Non-Provisional Application are transmitted herewith for filing in the above-identified patent application.

BAKER BOTTS L.L.P.

Attorneys for Applicants

Jay B. Johnson

Reg. No. 38,193

Correspondence Address:

2001 Ross Avenue
Dallas, Texas 75201-2980
Tel. 214.953.6431

DAL01:730151.1

Applicant or Patentee: Kuang Wu, et al.
Serial or Patent No. 09/848,975
Filed or Issued: May 3, 2001

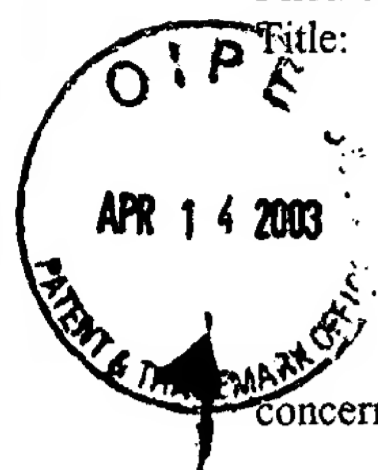
Attorney's Docket: 064977.0132
(AMT 10001 US)

10

Title: METHOD AND APPARATUS FOR IMPROVING A FRACTIONATION PROCESS

1W

4 25-03



**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.27(a)(2)) – SMALL BUSINESS CONCERN**

I hereby declare that I am an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Small Business Concern: AMT International, Inc.
Address of Small Business Concern: 100 N. Central Expressway, Suite 1100
Richardson, Texas 75080

RECEIVED

APR 16 2003

TC 1700

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121, and in 37 CFR 1.27(a), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either one concern controls, directly or indirectly, or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled **METHOD AND APPARATUS FOR IMPROVING A FRACTIONATION PROCESS** by inventors **Kuang Wu, Fred G. Tahmassi and Adam T. Lee**, described in the specification filed on May 3, 2001, Serial No. 09/848,975.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.27(a)(1) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.27(a)(2), or a nonprofit organization under 37 CFR 1.27(a)(3):

NONE

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

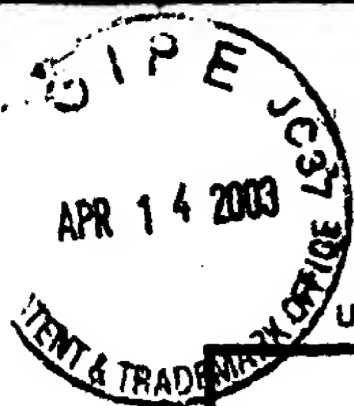
Name of Person Signing: Gilbert K. Chen
Title of Person if other than owner: President
Address of Person Signing: AMT International, Inc.
100 N. Central Expressway, Suite 1100
Richardson, Texas 75080

Signature:

Gilbert K. Chen

Date:

April 4, 2003



STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: AMT INTERNATIONAL, INC.

Application No./Patent No.: FILED HEREWITH Filed/Issu Date: MAY 3, 2001

Entitled: METHOD AND APPARATUS FOR IMPROVING A FRACTIONATION PROCESS

AMT INTERNATIONAL, INC., a CORPORATION

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

MAY 3, 2001

Date


Signature

GILBERT K. CHEN

Typed or printed name

PRESIDENT

Title